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Rev. 04/01

Docket No. NOVA-014



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Lo et al.
Application No.: 09/871,229
Filed : May 31, 2001
For : SURFACE-EMITTING LASER DEVICES WITH
INTEGRATED BEAM-SHAPING OPTICS AND
POWER-MONITORING DETECTORS
Examiner : Unassigned

Hon. Commissioner
for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This
Statement is submitted:

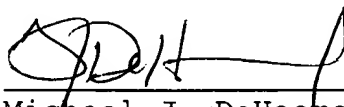
- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Commissioner is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account

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No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



Michael J. DeHaemer, Jr.
Registration No. 39,164
Agent for Applicants

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I hereby Certify that this
Correspondence is being
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WASHINGTON, D.C. 20231, ON

09-21-2001
LILY X. JIANG


Signature of Person Signing

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PATENTS
NOVA-014

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INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98,
applicants hereby make the following documents of record in
the above identified application:^{*}

U.S. Patents

Liau et al.	4,718,070	06/1988
Liau et al.	4,935,939	06/1990

Other Publications

Z. L. Liau, J. N. Walpole, "Surface-emitting
GaInAsP/InP laser with low threshold current and high
efficiency", Applied Physics Letters, vol. 46, no. 2,
pp. 115-117, 1985.

* Applicants reserve the right to challenge the status of any
of the cited documents as prior art.

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H. Saito, Y. Noguchi, "A reflection-type surface-emitting 1.3 μm GaInAsP/InP laser array with microcoated reflector", Japanese Journal of Applied Physics, vol. 28, pp. L1239-L1241, 1989.

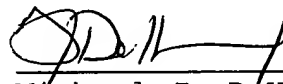
B. Stegmuller, H. Westermeier, W. Thulke, G. Franz, and D. Sacher, "Surface-emitting InGaAsP/InP distributed feedback laser diode at 1.53 μm with monolithic integrated microlens", IEEE Photonics Technology Letters, vol. 3, no. 9, pp. 776-778, 1991.

Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent that may issue on this application. Applicants request that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

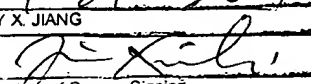
Respectfully submitted,



Michael J. DeHaemer, Jr.
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Signature of Person Signing